Opportunities for Enhancing Diversity in the Geosciences (OEDG)

Program Solicitation

NSF 01-36

DIRECTORATE FOR GEOSCIENCES
DIVISION OF ATMOSPHERIC SCIENCES
DIVISION OF EARTH SCIENCES
DIVISION OF OCEAN SCIENCES

LETTER OF INTENT DUE DATE(S): February 16, 2001

DEADLINE(S): March 16, 2001





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SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Title: Opportunities for Enhancing Diversity in the Geosciences (OEDG)

Synopsis of Program: The Directorate for Geosciences of the National Science Foundation supports research in the earth, ocean and atmospheric sciences. The Opportunities for Enhancing Diversity in the Geosciences (OEDG) program addresses the problem of underrepresentation of certain groups across the geosciences. These groups have been identified as underrepresented in the geosciences when compared to their proportion of the general population. The primary goal of the OEDG program to increase the participation in geoscience education and research by students from these groups. The initial year of the competition will focus on increasing participation and/or opportunities for African Americans, Hispanics, Native Americans (American Indians and Alaskan Natives), Native Pacific Islanders (Polynesians or Micronesians) and persons with disabilities. A secondary goal of the program is to strengthen the understanding of the geosciences and their contribution to modern society by a broad and diverse segment of the population. The OEDG program supports activities that strengthen geoscience teaching and learning in ways that improve access and retention of these underrepresented groups in the geosciences. Typical project strategies include enhanced research experiences for students, strengthening of infrastructure at institutions that serve underrepresented groups, and support of collaborations between minority institutions and established research programs at colleges and universities or centers.

Cognizant Program Officer(s):

• Jewel C. Prendeville, Staff Associate for Diversity Program Development, Directorate for Geosciences, telephone: 703 292-8521, e-mail: jprendev@nsf.gov.

Applicable Catalog of Federal Domestic Assistance (CFDA) Number(s):

- 47.076 --- Education and Human Resources
- 47.050 --- Geosciences

ELIGIBILITY INFORMATION

• Organization Limit: None

• PI Eligibility Limit: None

• Limit on Number of Proposals: None

AWARD INFORMATION

• Anticipated Type of Award: Standard or Continuing Grant

Estimated Number of Awards: 15

• Anticipated Funding Amount: \$3,000,000

PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

- **Letters of Intent:** Submission of Letters of Intent is optional. Please see the full program announcement/solicitation for further information.
- Full Proposal Preparation Instructions: Standard Preparation Guidelines
 - Standard GPG Guidelines apply.

B. Budgetary Information

- Cost Sharing Requirements: Cost Sharing is not required
- **Travel** to one required meeting of principal investigators at the National Science Foundation should be included in the budget.
- Indirect Cost (F&A) Limitations: Not Applicable.
- Other Budgetary Limitations: If equipment or instrumentation is requested, costs may not exceed 30% of the total budget request.

C. Deadline/Target Dates

- Letter of Intent Due Date(s): February 16, 2001
- Preproposal Due Date(s): None
- Full Proposal Due Date(s): March 16, 2001

D. FastLane Requirements

- FastLane Submission: Full Proposal Required
- FastLane Contact(s):
 - Brian Dawson, Geosciences, 785, telephone: 703 292-4727, e-mail: bdawson@nsf.gov.

PROPOSAL REVIEW INFORMATION

 Merit Review Criteria: National Science Board approved criteria. Additional merit review considerations apply. Please see the full program announcement/solicitation for further information.

AWARD ADMINISTRATION INFORMATION

- **Award Conditions:** Additional award conditions apply. Please see the program announcement/solicitation for further information.
- **Reporting Requirements:** Additional reporting requirements apply. Please see the full program announcement/solicitation for further information.

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I. INTRODUCTION

The National Science Foundation (NSF) has an express mandate from Congress to promote the full use of human resources in science and engineering. The *Science and Engineering Equal Opportunities Act of 1980* gives NSF broad authority to assist in "full development and use of the science and engineering talents of men and women, equally, of all ethnic, racial, and economic backgrounds," as well as those talents of persons with disabilities. Statistical data confirm the problem of underrepresentation in science and engineering in general and in the geosciences in particular. Underrepresented groups -African Americans, Hispanics, Native Americans (American Indians and Alaskan Natives), Native Pacific Islanders (Polynesians or Micronesians) and persons with disabilities - represent about one quarter of the general population, and earn almost 15 percent of the total bachelor's degrees granted in science and engineering; however, they earn only 4.6 percent of all BS degrees in the geosciences. At the master's and doctorate levels, the percentages for underrepresented groups earning degrees in geosciences are 3.3 percent and 5 percent respectively, of the total earned. This may be measured against the fact that underrepresented groups earn 10.6 percent of all masters' degrees in science and engineering and 8.2 percent of doctorate degrees in the same pool.

II. PROGRAM DESCRIPTION

The Directorate for Geosciences of the National Science Foundation encompasses study of the ocean, earth and atmospheric sciences. The primary goal of the Opportunities for Enhancing Diversity in the Geosciences program is to increase participation in geoscience careers by members of groups that have traditionally been underrepresented in geoscience disciplines. In pursuit of this goal, this program is designed to expand opportunities for students from underrepresented groups to participate in geoscience research and education activities. An important but secondary goal is to strengthen the understanding of the geosciences and their contribution to modern society by a broad and diverse segment of the population. For the purposes of this solicitation, underrepresented groups include persons with disabilities and members of those racial and ethnic groups underrepresented in science, mathematics and engineering, particularly in the geosciences: African Americans, Hispanics, Native Americans (American Indians and Alaskan Natives), and Native Pacific Islanders (Polynesians or Micronesians). The initial year of the competition will focus on projects that have an impact on the presence of these groups in the geosciences. Since high numbers of students from underrepresented groups initially attend community colleges, efforts to form collaborations between community or two-year colleges and geoscience research institutions are encouraged.

- Proposals should be firmly grounded in geoscience research or in the integration of geoscience research and education.
- Projects should identify mechanisms to be employed that will encourage and enable members of underrepresented groups to enter and to remain in the geosciences.

This program will provide support for projects that undertake one or more of the following three activities:

1. Activities that facilitate the establishment, development and enhancement of geoscience educational and research capabilities in historically black colleges and universities (HBCUs), minority serving institutions (MSIs) and tribal colleges.

Establishing independent research capabilities at HBCUs, MSIs and tribal colleges is intended to expand geoscience research and education opportunities for students at these colleges. Typical activities funded under this element may include but are not limited to: geoscience course and curriculum reform and enhancement; faculty professional development; research experiences and other active learning opportunities for students; purchase of equipment or instrumentation to improve geoscience instruction; direct student support; strengthening preparation in mathematics and physics to equip students for undertaking studies in geosciences; and other activities to improve access to and retention of students from underrepresented groups in the geosciences.

2. Activities that foster educational and research partnerships/collaborations/exchanges between and among minority serving institutions, traditional majority serving institutions (i.e. two and four-year colleges, universities) research centers, professional and industrial organizations.

These activities emphasize partnerships between educational and research institutions. Activities supported under this element include research opportunities in geosciences for students from underrepresented groups at both the undergraduate and post-baccalaureate levels and at the upper high school level as appropriate. Projects should offer multiple-year participation by students and include effective use of role models and mentors. Proposed activities should be based on bona fide research projects that include the key elements of hypothesis development, experimental design, execution and analysis of project, technical writing and presentation of results.

Student recruitment may reach outside the traditional geoscience courses to other related departments such as physics, chemistry, biology, mathematics, engineering and geography.

3. Outreach activities to underrepresented groups

The geosciences offer opportunities to capitalize on numerous existing resources and facilities for outreach to underrepresented groups. Activities using such facilities have the potential to provide experiences not only for students, but also their families, their communities and teachers. Activities such as summer science camps and bridging programs for selected students from middle school through high school are activities that may expand the participation of underrepresented groups. Other activities that may promote this goal include attendance at professional or student society meetings. Structured activities planned around these meetings may lead to retention of minority students in the geosciences.

If research instrumentation or equipment is requested under this announcement, the proposal should include information on maintenance and technical support for the instrumentation after the period of the award.

In order to establish that the program is accomplishing its goals, assessment and evaluation are essential. Information to assess program effectiveness must be collected by grantees for funded projects. Project reports will include, at a minimum: obtaining and maintaining information on individuals participating in the project; documenting the number/type/quality of research experiences;

evaluation by participants and mentors; and follow-up/tracking of participants. Evidence of scholarly productivity (papers by students/grants to students) may also be reported.

Proposals should include a statement acknowledging responsibility to provide the reports identified above. Specific reports required for each funded project will be determined in consultation with awardees.

Before submitting a proposal to this program, potential principal investigators should closely review the following documents: "Report of the Geosciences Diversity Workshop," August 2000, National Science Foundation, and the paper on "Developing a Program for Opportunities for Enhancing Diversity in the Geosciences". Both are located at www.geo.nsf.gov/geo/diversity.

III. ELIGIBILITY INFORMATION

The categories of proposers identified in the <u>Grant Proposal Guide</u> are eligible to submit proposals under this program announcement/solicitation.

IV. AWARD INFORMATION

Under this announcement, proposals may be submitted requesting funding for up to three years. In exceptional cases, awards for up to five years may be considered if the justification and promise are compelling. Budgets should be based on the work proposed. For larger collaborations and partnerships, budgets are not expected to exceed \$400K per year. The program expects to make approximately 15 standard or continuing awards depending on the quality of submissions and the availability of funds. Approximately \$3 million will be available for this initiative in FY 2001. The anticipated award date is six months from the deadline date.

V. PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions

Letters of Intent: To aid in planning the review, potential PIs are asked to submit an optional letter of Intent by February 16, 2001. Letters of Intent should be e-mailed (no attachments) to geo_diversity@nsf.gov. Information contained should include a general description of the scope of the work, parties involved and an estimated budget.

Full Proposal Instructions:

Proposals submitted in response to this program announcement/solicitation should be prepared and submitted in accordance with the general guidelines contained in the NSF *Grant Proposal Guide* (GPG). The complete text of the GPG is available electronically on the NSF Web Site at: http://www.nsf.gov/cgi-bin/getpub?nsf012. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone (301) 947-2722 or by e-mail from pubs@nsf.gov.

Proposers are reminded to identify the program solicitation number (NSF 01-36) in the program announcement/solicitation block on the NSF Form 1207, *Cover Sheet For Proposal to the National Science Foundation*. Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

B. Budgetary Information

Cost sharing is not required in proposals submitted under this Program Solicitation. Travel to one required meeting of principal investigators at the National Science Foundation should be included in the budget.

Other Budgetary Limitations: If equipment or instrumentation is requested, costs may not exceed 30% of the total budget request.

C. Deadline/Target Dates

Proposals submitted in response to this announcement/solicitation must be submitted by 5:00 PM, local time on the following date(s):

March 16, 2001

D. FastLane Requirements

Proposers are required to prepare and submit all proposals for this Program Solicitation through the FastLane system. Detailed instructions for proposal preparation and submission via FastLane are available at: http://www.fastlane.nsf.gov/a1/newstan.htm. For FastLane user support, call 1-800-673-6188.

Submission of Signed Cover Sheets. The signed copy of the proposal Cover Sheet (NSF Form 1207) must be postmarked (or contain a legible proof of mailing date assigned by the carrier) within five working days following proposal submission and be forwarded to the following address:

National Science Foundation DIS – FastLane Cover Sheet 4201 Wilson Blvd. Arlington, VA 22230

VI. PROPOSAL REVIEW INFORMATION

A. NSF Proposal Review Process

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program Officers charged with the oversight of the review process. NSF invites the proposer to suggest at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority-serving institutions, or adjacent disciplines to that principally addressed in the proposal.

Proposals will be reviewed against the following general review criteria established by the National Science Board. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will

be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgements.

What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

Principal Investigators should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to both of the above-described NSF merit review criteria. NSF staff will give these elements careful consideration in making funding decisions.

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives.

Integrating Diversity into NSF Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- is essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

Additional Review Criteria

- Has the proposer demonstrated previous experience and success in planning and managing programs directed to underrepresented groups?
- Does the proposal provide evidence of institutional commitment to achieving and realizing the goals of the proposal?
- For large scale collaborations, does the proposal demonstrate the capability of the project team to successfully carry out the stated goals of the collaboration?
- For large scale collaborations, does the proposal demonstrate the potential to increase the number of geoscience students from participating institutions?

• For large scale collaborations, does the proposal demonstrate potential as a model for developing long-term collaborative relationships?

A summary rating and accompanying narrative will be completed and signed by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are sent to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

B. Review Protocol and Associated Customer Service Standard

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Proposals submitted in response to this announcement/solicitation will be reviewed by Mail and/or panel review.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. The Program Officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation.

NSF will be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 95 percent of proposals. The time interval begins on the proposal deadline or target date or from the date of receipt, if deadlines or target dates are not used by the program. The interval ends when the Division Director accepts the Program Officer's recommendation.

In all cases, after programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants and Agreements Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with a NSF Program Officer. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants and Agreements Officer does so at its own risk.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award

Notification of the award is made to *the submitting organization* by a Grants Officer in the Division of Grants and Agreements. Organizations whose proposals are declined will be advised as promptly as possible by the cognizant NSF Program Division administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator. (See section VI.A. for additional information on the review process.)

B. Award Conditions

An NSF award consists of: (1) the award letter, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award letter; (4) the applicable award conditions, such as Grant General Conditions (NSF-GC-1)* or Federal

Demonstration Partnership (FDP) Terms and Conditions * and (5) any announcement or other NSF issuance that may be incorporated by reference in the award letter. Cooperative agreement awards also are administered in accordance with NSF Cooperative Agreement Terms and Conditions (CA-1). Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

*These documents may be accessed electronically on NSF's Web site at http://www.nsf.gov/home/grants/grants_gac.htm. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone (301) 947-2722 or by e-mail from pubs@nsf.gov.

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, available electronically on the NSF Web site at http://www.nsf.gov/cgi-bin/getpub?gpm. The GPM is also for sale through the Superintendent of Documents, Government Printing Office (GPO), Washington, DC 20402. The telephone number at GPO for subscription information is (202) 512-1800. The GPM may be ordered through the GPO Web site at http://www.gpo.gov.

Special Award Conditions

The awardee will participate in annual workshops to exchange information with other awardees. The awardee will collect data identified as necessary to assess the success of the particular project and the program as a whole.

C. Reporting Requirements

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

The awardee will report data required to assess the effectiveness of the project. Data to be collected for each project will be determined by the nature and activities of the project but will most likely include: obtaining and maintaining information on individuals participating in the program; documenting the number/type/quality of research experiences; evaluation by participants and mentors; and follow-up tracking of participants.

Within 90 days after the expiration of an award, the PI also is required to submit a final project report. Approximately 30 days before expiration, NSF will send a notice to remind the PI of the requirement to file the final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

NSF has implemented an electronic project reporting system, available through FastLane. This system permits electronic submission and updating of project reports, including information on project participants (individual and organizational), activities and findings, publications, and other specific products and contributions. Pls will not be required to re-enter information previously provided, either with a proposal or in earlier updates using the electronic system.

VIII. CONTACTS FOR ADDITIONAL INFORMATION

General inquiries regarding Opportunities for Enhancing Diversity in the Geosciences should be made to:

• Jewel C. Prendeville, Staff Associate for Diversity Program Development, Directorate for Geosciences, telephone: 703 292-8521, e-mail: jprendev@nsf.gov.

For questions related to the use of FastLane, contact:

• Brian Dawson, Geosciences, 785, telephone: 703 292-4727, e-mail: bda wson@nsf.gov.

IX. OTHER PROGRAMS OF INTEREST

The NSF *Guide to Programs* is a compilation of funding for research and education in science, mathematics, and engineering. The NSF *Guide to Programs* is available electronically at http://www.nsf.gov/cgi-bin/getpub?gp. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter.

Many NSF programs offer announcements or solicitations concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices. Any changes in NSF's fiscal year programs occurring after press time for the *Guide to Programs* will be announced in the NSF <u>E-Bulletin</u>, which is updated daily on the NSF web site at http://www.nsf.gov/home/ebulletin, and in individual program announcements/solicitations. Subscribers can also sign up for NSF's Custom News Service (http://www.nsf.gov/home/cns/start.htm) to be notified of new funding opportunities that become available.

Specific program announcements that may be consulted are: Awards to Facilitate Geoscience Education (AFGE) NSF 00-38; Research Experiences for Undergraduates (REU) Supplements and Sites NSF 00-107; Historically Black Colleges and Universities Undergraduate Program (HBCU-UP) NSF 00-131; Research at Undergraduate Institutions (RUI) NSF 00-144; Louis Stokes Alliances for Minority Participation (LSAMP) NSF 01-14; Awards in Science, Engineering and Mathematics for Persons with Disabilities NSF 00-69; and Alliances for Graduate Education and the Professoriate (AGEP) NSF 00-53.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Awardees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities and persons with disabilities to compete fully in its programs. In accordance with Federal statutes, regulations and NSF policies, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of,

or be subjected to discrimination under any program or activity receiving financial assistance from NSF (unless otherwise specified in the eligibility requirements for a particular program).

Facilitation Awards for Scientists and Engineers with Disabilities (FASED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the program announcement/solicitation for further information.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation about NSF programs, employment or general information. TDD may be accessed at (703) 292-5090, FIRS at 1-800-877-8339.

The National Science Foundation is committed to making all of the information we publish easy to understand. If you have a suggestion about how to improve the clarity of this document or other NSF-published materials, please contact us at <u>plainlanguage@nsf.gov</u>.

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the proposal review process; to applicant institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51, "Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

Pursuant to 5 CFR 1320.5(b), an agency may not conduct or sponsor, and a person is not required to respond to an information collection unless it displays a valid OMB control number. The OMB control number for this collection is 3145-0058. Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Suzanne Plimpton, Reports Clearance Officer, Information Dissemination Branch, Division of Administrative Services, National Science Foundation, Arlington, VA 22230, or to Office of Information and Regulatory Affairs of OMB, Attention: Desk Officer for National Science Foundation (3145-0058), 725 17th Street, N.W. Room 10235, Washington, D.C. 20503.

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